



Office of Enterprise Compliance Report - Matrix
September 2006

Item #8 Attachment A

	DATE OF ASSIGNMENT	STATUS
1. Personnel Update	Ongoing	Third quarter of ongoing recruitment for Compliance Area Manager for Health.
2. Program Activities	Ongoing	<p>CCO participated in a meeting and presentation with California Earthquake Authority compliance and audit personnel to discuss compliance program development.</p> <p>CCO developed and conducted six sessions of CalPERS "Working Values" course. One course was presented to Customer Service and Education Managers at San Jose Regional Office. Course includes a "Working Values" handbook, powerpoint presentation and a gift reporting and honorarium prohibitions wallet card.</p>
3. Reporting Non-Compliance Issues	Ongoing	Ongoing.
4. Regulatory Review	June 2005	Review of proposed rules, regulations and applicability to CalPERS on a monthly basis. Review conducted and no significant items to report for June, July and August 2006. Office of Enterprise Compliance staff conducted a review of policy related process and procedures for Delegation of Authority in the Investment Office.



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5. Compliance Area Manager - Investments	Ongoing	<p>Compliance Area Manager (CAM) is monitoring daily pre and post execution of trades. Weekly reporting on compliance summary to CCO. Monthly report of warning trends and patterns to the Senior Portfolio Manager.</p> <p>Monthly report of user access is being reviewed. Procedures for compliance monitoring are being reviewed, documented and discussed with investment staff.</p> <p>CCO and CAM attended "Derivatives Documentation and Transaction" workshop.</p> <p>CCO and CAM participated with Corporate Governance staff in review and recommendations of proxy voting tools and software.</p>
6. Compliance Area Manager – Health	Ongoing	<p>Office of Enterprise Compliance personnel attended HealthCare Academy. Topics covered at the academy included; Quality and Compliance Strategies for Making Your Program a Success, HIPAA Privacy & Security and Creating & Reviewing Compliance Policies and Procedures.</p>